

# FAM Organizational Guidance

1/27/2003

The purpose of this paper is to identify how an appraised organization may prepare for and conduct a full internal appraisal using the FAA-iCMM Appraisal Method (FAM). It is based on input from the FAM appraisal leads of the FAM variations and a review of appraisal feedback forms. The paragraph numbers correspond to the FAM paragraph numbers. The reader should read the FAM for specific information such as roles and responsibilities. When the term “organization” is used it is meant to be the entity being appraised and its subordinate levels.

## 2.1. Plan and Prepare for the Appraisal

### 2.1.1. Obtain Sponsor Commitment

This activity should be started early in the planning phase and maintained to appraisal completion. At times there may be multiple sponsors (e.g., multiple organizations being appraised that are related by horizontal lines; or multiple vertical levels of management). Many times an appraisal advocate may be the point of contact for the sponsor. This person should be identified early.

When an organization develops its process improvement action plan (all organizations should have one signed by the sponsor indicating commitment) it should contain an appraisal strategy and high-level plan including both full internal appraisals and variation appraisals (or other methods of determining sustainment of appraised capability, as well as appraisal readiness). Prior to approval, the process improvement action plan should be reviewed by the FAA's Appraisal Coordinator (normally 9-12 months in advance of a full internal appraisal). Preliminary dates should be agreed to and put on the FAA's appraisal schedule. The appraisal Coordinator can be found at <http://www1.faa.gov/ipg/>; select “Appraisals”.

### 2.1.2. Select Appraisal Scope

The scope of the appraisal should derive from the organizational process improvement goals. Many times it is beneficial to make the appraisal scope (in terms of PAs and capability levels) larger than that required by the current organizational process improvement goals in order to establish a baseline and provide areas of future process improvement to the organization.

Model scope - A full internal appraisal is not efficient if the PA scope is too small. An appraisal on V2.0 of the FAA-iCMM should include PA 11 Project Management, PA 15 Quality Assurance and Management, PA 16 Configuration Management, PA 18 Measurement and Analysis (not needed for V1.0 of the FAA-iCMM), in addition to one or more PAs that the organization believes is important to them and is their focus relating to their business goals. The organization should look at their long-term goals prior to selecting an appraisal scope. The capability level profile resulting from an appraisal will provide a PA specific capability rating for all PAs and capability levels within scope, but will not provide any findings for PAs and capability levels out of scope.

Organizational scope – The broadest part of the organization(s) that is reasonable should be part of the appraisal scope. The organizational chart (including integrated support contractors) and organization roster should be reviewed with the Appraisal Team Lead (ATL) to clarify the organizational

# FAM Organizational Guidance

1/27/2003

scope and support appraisal planning. PAs like Outsourcing and Supplier Agreement Management will provide better results if the Contracting Officer and their technical representatives are within scope of the appraisal. Where, the product(s) or service(s) of the organization require close coordination with other organizations, better results can be produced if both organizations are within scope.

Lifecycle scope – Full internal FAMs provide better results and are more effective if they address all phases of the products and services for the selected organization. It is not efficient and at times impossible to appraise only a functional area of an organization

## 2.1.3. Select Appraisal Team

The Organizational Appraisal Representative (OAR)<sup>1</sup>, and Site Coordinator<sup>2</sup> should be nominated early by the organization (at least 3 months prior to appraisal). The OAR should be able to balance the responsibilities of appraiser and organizational representative, i.e., be able to function fully in both roles.

See attached FAM Team Selection Process (page 8) and Conflict of Interest Guidance (page 6) for more guidance on the team selection process and who should, or should not be on the team.

## 2.1.4. Plan Appraisal Details

The ATL is responsible for development of the plan in conjunction with the organization's point of contact or OAR. The plan should be started at least 3 months prior to the scheduled appraisal and be signed by the sponsor and ATL prior to the opening brief.

It is strongly recommended that a readiness review appraisal (quick look FAM variation or equivalent, performed by a person knowledgeable in the FAA-iCMM, appraisals, and who is external to the organization being appraised) be performed at least 3 months prior to the full internal FAM appraisal. Based on the results of the readiness review, an appraisal Go/No-Go decision should be made by the sponsor (after consulting with the ATL). Complete the Appraisal Planning Data Collection Tool at least a month prior to the full internal FAM appraisal. This will help the ATL select interview groups and specific interviewees (this is coordinated with the organization's point of contact). The organization should complete the Documentation Trace Matrix at least one month prior to the on-site appraisals period.

The organization should ensure that the use of confidentiality agreements, questionnaires, etc. is acceptable to the appropriate unions, as soon as possible prior to the appraisal.

## 2.1.5. Orient Participants

This is an optional step recommended for organizations that are not familiar with the appraisal process. This step may be combined with the Questionnaire Administration briefing.

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<sup>1</sup> Person on the appraisal team that is from the organization and is responsible for supporting the organization action planning post-appraisal

<sup>2</sup> Person not on the team responsible for logistical and coordination issues both prior to and during the appraisal

# **FAM Organizational Guidance**

1/27/2003

## **2.1.6. Train Team**

Ensure the 2.5-day appraisal team training is completed at least 1 week prior to an appraisal. This training may be done in a larger group covering multiple appraisals.

Initial documents (identified in the appraisal plan) should be available for team review after the class. A half-day will be added to the class to review initial documentation such as process and planning documents, sample artifacts, and an organizational chart. The OAR will be asked to provide an informal briefing about the organization to provide context during this half-day session.

## **2.1.7. Administer Questionnaire**

The organization OAR and/or Point of Contact should review the QBA questionnaire and recommend any wording changes or supplemental definitions/explanations to the ATL. Schedule the questionnaire administration briefing at least one month prior to the appraisal. The OAR should submit the QBA parameters to the QBA administer at least two weeks before the QBA administration. Ensure the person administering the questionnaire is knowledgeable about appraisals and the questionnaire. Make sure the PA roles are clearly defined. Make sure the majority of the organization answers the questionnaire (60% per question is required). When using the automated tool allow two weeks for completion and an additional two weeks for report generation and clean-up as needed.

## **2.1.8. Develop Exploratory Questions**

The appraisal team does this step. In order to accomplish this, the following should be provided by the organization to the team: Appraisal Planning Data Collection Tool; Results of the QBA Questionnaire; initial documentation; and the Documentation Trace Matrix for each PA in scope.

## **2.2. Conduct Appraisal**

### **2.2.1. Conduct Opening Meeting**

All organization personnel should be present, even if they are not on the interview list. The appraisal team may call on anyone within the organizational scope to interview, so all should understand what the scope, schedule, and appraisal concepts are. The sponsor should be there and make some remarks either prior to, or after the briefing.

### **2.2.2. Conduct Interviews**

Managers (or team leads) should not be in the same interview session as practitioners. A person should not be scheduled for more than one interview session. Interviewees should answer the question; if the question is not understood, ask for clarification. They should just explain what they do and answer questions from their perspectives. Make sure the interviewee's role within the organization is clear. Interviewees should be on time, not have pagers or cell phones on, not take notes, and stay for the entire interview session.

### **2.2.3. Review Documentation**

All documents identified in the Document Trace Matrices should be available on Day 1 of the on-site appraisal. When providing documentation to the

## **FAM Organizational Guidance**

1/27/2003

appraisal team, provide the entire document. Evidence notebooks/files are useful, if they are correctly mapped to PAs/BPs/GPs. Make sure the evidence accurately and completely addresses all aspects of the practice. Make sure evidence is current. Provide enough artifacts to indicate that the practice has been constantly done for a reasonable period of time (e.g., last two times performed, some from the past). More documentation is not necessarily better; keep it simple. If the process has changed recently, don't be afraid to submit artifacts that may indicate the process was not followed (this could be a strength; we encourage process improvement, not stale processes) just explain that the process was changed (may want to provide a copy of the old process) and when. A detailed (identify to the paragraph level) Trace Matrix is very useful. In addition, a numbered inventory list of documents provided should be given to the appraisal team. If documentation is on-line, make sure all team members have access (e.g., not just one terminal on the LAN).

### **2.2.4. Consolidate Data**

Performed by appraisal team.

### **2.2.5. Develop Draft Findings**

Performed by appraisal team.

### **2.2.6. Present Draft Findings**

Only those interviewed and signing a confidentiality agreement are invited. Participants should be on time, not have pagers or cell phones on, not take notes, and stay for the entire briefing. This is a feedback and data collection session. Adherence to the confidentiality rule will ensure that the preliminary results (subject to change) are not disclosed. The appraised organization should make sure that they either agree with the findings as presented, or that appropriate artifacts are provided to address the findings. If the organization agrees with a weakness, they should not attempt to argue it. Focus on those parts of the findings where issues exist. This session is very important to validate the draft findings. If there is an issue, instead of arguing the point, provide additional appropriate evidence to the appraisal team. Information requested during draft findings should be provided, through the Site Coordinator, by the deadline identified by the ATL.

### **2.2.7. Develop Ratings**

Performed by appraisal team.

### **2.2.8. Develop Final Briefing**

Performed by appraisal team.

### **2.2.9. Brief Sponsor**

This briefing is for the sponsor. The sponsor may invite others, but there should not be too many people. The ATL will want to be able to speak candidly about strengths and weaknesses in the organization.

### **2.2.10. Present Final Briefing**

This ATL led briefing is open to all that the sponsor wants to invite. The sponsor should be there and make some remarks after the briefing.

### **2.2.11. Conduct Wrap-Up**

The organization should pick up the documents provided to the appraisal team as soon as possible after they are released. All those involved in any way

# **FAM Organizational Guidance**

1/27/2003

(QBA, Interview, etc.) should complete a feedback form. The sponsor has a separate feedback form.

## **2.3.Report Results**

### **2.3.1. Prepare and Deliver Appraisal Report**

Normally the final briefing will serve as the final report. The sponsor should identify restrictions on its release to iPG, other organization, public, etc.

### **2.3.2. Manage Records**

Performed by appraisal team.

After the appraisal the organization should develop/update their process improvement plan and goals as needed. The OAR should be useful for that process. Feel free to also contact the ATL.

The plan should include the schedule and types of appraisals to be performed and should be coordinated with the FAA's Appraisal Coordinator. It is strongly recommended that a full FAM be done every 2 years, and variations be done every 6 months. Contact the Appraisal Coordinator for help in this planning. These quick look appraisals should be performed by a person knowledgeable in the FAA-iCMM, appraisals, and is able to be objective. Use external people as needed to ensure that correct interpretation is given to the organization.

The success of the appraisal depends on the objectivity and knowledge of the appraisal team. The following documents describe guidelines for team selection, objectivity, and avoiding a conflict of interest (either real or perceived).

# FAM Conflict of Interest Guidance

1/27/2003

This paper addresses the subject of “Independence” and “Conflict of Interest” (COI) that may arise for FAA-iCMM Appraisal Method (FAM) Appraisal Team members and Leads that have a relationship to the organization being appraised. While this can be a sensitive issue for any appraisal, it is more critical to be addressed for those appraisals that are performed to determine if a performance goal is being met (whether stated or not). An example of an appraisal performance goal is: “Achieve Capability 3 in the Maturity Level 2 process areas.” The facilitated discussion appraisal method (FDAM) is not an issue and is not part of this guidance.

## Guidelines

A. All team members should meet the following objectivity criteria and **NOT** be:

1. a manager of one of the selected appraisal projects
2. a person that would be interviewed
3. a person (other than the OAR) that reports directly to a person that is responsible for achievement of the process improvement and appraisal goals
4. within the management chain (higher-level) of any one that will be interviewed
5. one who has ownership (e.g., wrote, or major contributor) of the processes being appraised or one who has responsibility for achievement of appraisal goals
6. one that has a conflicting agenda with process improvement
  - Examples of conflicting agendas
    - Wants to prove the organization is (or is not) mature
    - Has a personal performance goal riding on results (or other personal gain)
    - Wants to prove that advice given in preparing for an appraisal was correct
  - Examples of non-conflicting agendas
    - Want to better understand the FAA-iCMM and FAM
    - Wants to better understand the organization
    - Wants to take process improvement principles back to home organization

B. The OAR must be from the appraised organization and all of the above (except item 3) should be maintained.

C. Additionally, when the organization is attempting to reach a performance goal with an appraisal, the Appraisal Team Leader should **NOT** report directly to the manager or next level management of the appraised organization.

# FAM Conflict of Interest Guidance

1/27/2003

## Guidance Discussion

The team should be made up of people both within and external to the organization, but no more than half the team should be from within the organization. **The ATL (as a team member) may be either from within or external to an appraised organization.**

A team member should not be a person providing major process improvement support prior to the appraisal. High-level support should not be considered a conflict.

The **major criterion for team selection is objectivity**. Team members should not bring any pre-determined agendas to the team. They should be open-minded and flexible, able to map and apply the FAA-iCMM to the organization's activities.

The application of these guidelines and a final decision on whether a significant conflict of interest exists that would disqualify a potential appraisal team member should be decided jointly between the Appraisal Coordinator, the ATL, and the appraised organization's sponsor. A statement regarding Conflict of Interest of the appraisal team members should be documented appropriately in the FAM Plan.

## **Discussion**

Selection of appraisal team should reflect the following criteria:

- Candidate's experience (what their title and actual work is, how long they have been in it, previous assignments to appraisal teams including PA's and capability/maturity levels, other appraisal or evaluation experiences, and role in process improvement are mandatory).
- Candidate's manager must approve and submit candidate for appraisal (this includes training and travel cost and time).
- A corporate mix of FAA employees, FAA contractors, and outside expertise should be considered.
- The majority of team members should not work for or support appraisal sponsor.
- See COI criteria (page 6).
- Given the above, the ATL and/or Appraisal Coordinator and sponsor (or sponsor's representative or advocate) jointly review the entire list of potential team members and their experience to jointly select the team.

## **Recommended Process**

1. The iPG Appraisal Coordinator sends out, via e-Mail and WEB, a call for appraisal team members to the iPG members listing upcoming appraisal(s) and training dates.
2. Each iPG Senior Representative informs their organization, via e-Mail, of the request for potential FAM appraisal team member(s), and provides the on-line address for accessing the FAM Appraisal Team Selection Form and FAM Organizational Guidance.
3. Potential team members (via the Team Selection Form) submit a brief description of their experience (see form, page 10) and the financial estimate through their immediate FAA supervisor/manager for approval. If the immediate FAA supervisor/manager approves the assignment and funding as necessary, the supervisor/manager forwards the form to their Directorate's iPG Senior Representative. The Senior Representative then forwards the form to the iPG Appraisal Coordinator and copies the iPG executive.
4. The iPG Appraisal Coordinator and/or the ATL, meet with the appraisal sponsor (or their representative or advocate) to jointly review the experience and other information submitted by the respective directorates. From this list, they agree who the OAR, and other team members will be.
5. Each applicant is informed of their status and provided rationale.



FAA Capability Maturity Model (FAM) - Appraisal Team Selection Process  
1/27/2003

6. Information submitted is retained by the iPG Appraisal Coordinator throughout the appraisal process in case there is a need for a change, replacement, or validation that the process was followed.

# FAA Capability Maturity Model (FAM) - Appraisal Team Selection Form

1/27/2003

## **Candidate Information**

(Items 1-8 to be filled in by candidate. Item 9 is for candidate's supervisor and, if Government contractor, COTR approval. Item 10 is reserved for iPG Senior Representative's concurrence/comments.)

1. Appraisal Name: \_\_\_\_\_ Date: \_\_\_\_\_
2. Name: \_\_\_\_\_ Routing Symbol: \_\_\_\_\_
3. Title/Series/Grade: \_\_\_\_\_ E-Mail: \_\_\_\_\_  
Phone: \_\_\_\_\_
4. Project: \_\_\_\_\_ Current Role: \_\_\_\_\_  
Years of Experience: \_\_\_\_\_
5. Subject Matter Expertise: (e.g.: Configuration Management, Project Management, Quality Assurance and Management)  
\_\_\_\_\_
6. Process Improvement Training: (iCMM, ISO 9001-2000) Model and Version: \_\_\_\_\_  
\_\_\_\_\_  
If you have not completed iCMM Model and Generic Practice Training , when are you planning to attend? \_\_\_\_\_
7. Prior Appraisal Experience: (Appraisal name and date) \_\_\_\_\_  
\_\_\_\_\_
8. Cost Estimates for this Appraisal: Travel \$ \_\_\_\_\_ Time \_\_\_\_\_  
(3-day Appraisal Training/Appraisal) (3-day Appraisal Training/Appraisal)
9. Approval: (Approved form to be submitted by candidate's supervisor to Directorate's Integrated Process Group (iPG) Senior Representative)  
  
**Approved:** \_\_\_\_\_  
(Immediate Supervisor) (COTR)

10. Selection or other recommendation/comments from iPG Senior Representative (with a copy to iPG Executive Member) to Appraisal Coordinator: \_\_\_\_\_

## **Selection Status and Feedback**

(To be completed by Appraisal Coordinator/Appraisal Team Lead/Appraisal Sponsor and returned to Candidate)

- ☐ Selected ☐ Not Selected (check all below that apply)
- ☐ Candidate's subject matter expertise not compatible with team mix
- ☐ Too many team members from the organization being appraised
- ☐ Sponsor rejected
- ☐ Other \_\_\_\_\_

**Selection Official:** \_\_\_\_\_  
(Appraisal Coordinator)

(Candidate information is to be retained by the appraisal Coordinator throughout the appraisal process)